

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Appln. No: To Be Assigned  
Applicant: Kazuhisa Yamamoto, et al.  
Filed: Herewith  
Title: OPTICAL DEVICE, LASER BEAM SOURCE, LASER APPARATUS AND  
METHOD OF PRODUCING OPTICAL DEVICE  
TC/A.U.: To Be Assigned  
Examiner: To Be Assigned

**INFORMATION DISCLOSURE STATEMENT**

Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Pursuant to 37 C.F.R. §§ 1.97 and 1.98 and to the duty of disclosure set forth in 37 C.F.R. § 1.56, the Examiner in charge of the above-identified application is requested to consider and make of record the references listed on the PTO 1449 (RP) submitted herewith. Although the information submitted herewith may be "material" to the Examiner's consideration of the subject application, this submission is not intended to constitute an admission that such information is "prior art" as to the claimed invention.

In accordance with 37 C.F.R. § 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made.

Under 37 C.F.R. § 1.98(d), copies of the patents and publications listed on the enclosed PTO Form 1449 are not required to be provided, because they were cited by or submitted to the Patent and Trademark Office in prior application Serial No. 09/922,978, filed August 6, 2001, and prior application Serial No. 08/973,380, filed March 16, 1998, now U.S. Patent No. 6,333,943, which are relied upon for an earlier filing date under 35 U.S.C. § 120.

This Information Disclosure Statement is being filed concurrently with the above-referenced application.

Respectfully submitted,

*Daniel N. Calder*

Daniel N. Calder, Reg. No. 27,424  
Attorney for Applicants

DNC/vj

Enclosures: PTO Form 1449 (3 pages)

Dated: November 13, 2003

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*Kathleen Libby*  
Kathleen Libby

Substitute for Form 1449A/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

**Complete if Known**

Application Number	To Be Assigned
Filing Date	Herewith
First Named Inventor	Kazuhisa Yamamoto, et al.
Art Unit	To Be Assigned
Examiner Name	To Be Assigned
Attorney Docket No.	YAO-3750US4

SHEET 1 of 3

**U.S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date (MM-DD-YYYY)	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code <sup>2</sup> (if known)			
		US-5,452,312	09-19-1995	Yamamoto, et al.	
		US-5,295,218	03-1994	Agostinelli	
		US-5,113,524	05-1992	Hirota	
		US-4,907,238	03-1990	Chun	
		US-4,667,331	05-1987	Alferness	
		US-5,614,961	03-1997	Gibeau	
		US-4,665,529	05-12-1987	Baer, et al.	
		US-5,036,220	07-30-1991	Byer, et al.	
		US-5,303,247	04-12-1994	Yamamoto, et al.	

**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date (MM-DD-YYYY)	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> (if known)				
		JP 6-18823 U	03-11-1994			<input type="checkbox"/>
		JP 08-194196	07-30-1996	Fujitsu, Ltd.		<input type="checkbox"/>
		JP 2-199975	08-08-1990	Sony Corp.		<input type="checkbox"/>
		JP 2-221995	09-04-1990	Sony Corp.		<input type="checkbox"/>
		JP 3-191332	08-21-91	Matsushita Elec. Ind. Co., Ltd.		<input type="checkbox"/>
		JP 3-38984	02-20-91	Pioneer Electronic Corp.		<input type="checkbox"/>
		JP 4-100088	04-02-92	Sony Corp.		<input type="checkbox"/>
		JP 4-18823	02-17-92	Asahi Glass Co., Ltd.		<input type="checkbox"/>
		JP 4-296731	10-21-92	Matsushita Elec. Ind. Co., Ltd.		<input type="checkbox"/>
		JP 4-315120	11-6-92	Matsushita Elec. Ind. Co., Ltd.		<input type="checkbox"/>
		JP 4-45478	2-14-92	Ibiden Co., Ltd.		<input type="checkbox"/>
		JP 4-507299	12-17-92	Board of Trustees of Leland Stanford Jr. Univ.		<input type="checkbox"/>
		JP 5-107421	4-30-93	Fujitsu, Ltd.		<input type="checkbox"/>
		JP 5-173094	7-13-93	Matsushita Elec. Ind. Co., Ltd.		<input type="checkbox"/>
		(**continued on page 2**)				<input type="checkbox"/>

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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

<sup>1</sup>Applicant's unique citation designation number (optional).

<sup>2</sup>See Kind Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04.

<sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard St.3).

<sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.

<sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible.

<sup>6</sup>Applicant is to place a check mark here if English language translation is attached.

The collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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**SHEET 2 of 3**

**Complete if Known**

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First Named Inventor	Kazuhiisa Yamamoto, et al.
Art Unit	To Be Assigned
Examiner Name	To Be Assigned
Attorney Docket No.	YAO-3750US5

## U.S. PATENT DOCUMENTS

[illegible]

## FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date (MM-DD-YYYY)	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> (If known)				
		JP 5-232536	9-1993			<input type="checkbox"/>
		JP 61-22518	5-31-86	Sony Corp.		<input type="checkbox"/>
		JP 6-148444	5-27-94	Fujitsu Ltd.		<input type="checkbox"/>
		JP 62-274788	11-28-87	Spectra -Physics, Inc.		<input type="checkbox"/>
		JP 6-265956	9-22-94	Fuji Photo Film Co., Ltd.		<input type="checkbox"/>
		JP 6-273814	9-30-94	Matsushita Elec. Ind. Co., Ltd.		<input type="checkbox"/>
		JP 6-350168	12-22-94	Hitachi Metals, Ltd.		<input type="checkbox"/>
		JP 7-15077	1-1995			<input type="checkbox"/>
		JP 7-23329	4-25-95	Mitsubishi Electric Corp.		<input type="checkbox"/>
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						<input type="checkbox"/>
						<input type="checkbox"/>
						<input type="checkbox"/>
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<sup>2</sup> See Kind Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04.

<sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard St.3).

<sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WPTDCS.

<sup>6</sup> Applicant is to place a check mark here if English language text is directly translated from a non-English language patent document.

<sup>6</sup>Applicant is to place a check mark here if English language translation is attached.

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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

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**Compleat if Known**

Application Number	To Be Assigned
Filing Date	Herewith
First Named Inventor	Kazuhisa Yamamoto, et al.
Art Unit	To Be Assigned
Examiner Name	To Be Assigned
Attorney Docket No.	YAO-3750US4

SHEET 3 of 3

**NON-PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T <sup>2</sup>
		MIZUUCHI, K., et al., "Second-Harmonic Generation of Blue Light in a LiTaO <sub>3</sub> Waveguide", <u>Applied Physics Letters</u> , Vol. 58, No. 24, pp. 2732-2734 (1991).	<input type="checkbox"/>
		International Search Report corresponding to PCT/JP96/01472 dated 10/8/96.	<input type="checkbox"/>
		Chinese Office Action dated July 10, 2003.	<input type="checkbox"/>
		AHLFELDT, H., et al., "Postfabrication Changes and Dependence on Hydrogen Concentration of the Refractive Index of Proton-Exchanged Lithium Tantalate Waveguides", pp. 717-727 (January 15, 1994).	<input type="checkbox"/>
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			<input type="checkbox"/>
			<input type="checkbox"/>

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<sup>1</sup>Applicant's unique citation designation number (optional).

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